DOCUMENT RESUME

ED 119 027 95 CE 006 770

AUTHOR O'Reilly, Patrick A.
TITLE The State Planning Process in Vocational Education: Project Baseline Supplemental Report.
INSTITUTION Northern Arizona Univ., Flagstaff. Project Baseline.
SPONS AGENCY Office of Education (DHEW), Washington, D.C.
PUB DATE Dec 75
CONTRACT OEC-0-72-0414
NOTE 64p.

EDRS PRICE MF-$0.83 HC-$3.50 Plus Postage
DESCRIPTORS Comparative Analysis; Educational Finance; Educational Legislation; *Educational Planning; Educational Problems; Federal Aid; *Federal Legislation; Federal State Relationship; Information Needs; *State Surveys; *Statewide Planning; *Vocational Education
IDENTIFIERS Project Baseline; Vocational Education Amendments 1968

ABSTRACT

The Vocational Education Act of 1963, as amended in 1968, required States to engage in detailed planning and reporting to qualify for Federal funds. The report describes the State planning process as it exists, planning initiatives which have been made and problems which have been encountered by the States. Commonalities and differences in the States' planning processes are identified, and the various development methods are described. The origins of data going into the State plans are discussed, and the major steps in writing and reviewing the State plan draft are traced. The major problems encountered by State planning personnel, problem causes, and possible effects are identified, and State planners' suggestions for solving these problems are offered. Although the study is descriptive in nature, an effort is made to gauge the effects of planning. Innovations in the planning process and examples of exceptional planning efforts are identified, and trends in the planning of vocational education are examined to determine whether the State plans are true planning documents or merely compliance documents. Finally, 12 recommendations to Congress are offered which, if implemented, should improve the planning of vocational education. These are aimed at stimulating legislative action at the Federal level. (Author/AJ)

****
* Documents acquired by ERIC include many informal unpublished *
* materials not available from other sources. ERIC makes every effort *
* to obtain the best copy available. Nevertheless, items of marginal *
* reproducibility are often encountered and this affects the quality *
* of the microfiche and hardcopy reproductions ERIC makes available *
* via the ERIC Document Reproduction Service (EDRS). EDRS is not *
* responsible for the quality of the original document. Reproductions *
* supplied by EDRS are the best that can be made from the original. *
****

APR 0 8 1976

ED119027

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

Vocational Education Planning in the States

PROJECT BASELINE

SUPPLEMENTARY REPORT

2

CE 006 176

THE STATE PLANNING PROCESS IN VOCATIONAL EDUCATION

Project Baseline Supplemental Report

By

Patrick A. O'Reilly, Ph.D.
Research Associate, Project Baseline

For

Project Baseline
Northern Arizona University
Flagstaff, Arizona
December, 1975

The work upon which this publication was based was performed pursuant to contract OEC 0-72-0414 with the U. S. Office of Education, Department of Health, Education, and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the U. S. Office of Education, Northern Arizona University, or the National Advisory Council on Vocational Education, and no official endorsement by the U. S. Office of Education should be inferred.

The data in this report are intended for public use. Permission to use or reproduce any portion herein is not required.

ABSTRACT

The Vocational Education Act of 1963, as amended in 1968, required that the States engage in a detailed program of planning and reporting in order to qualify for Federal Vocational Education funds. This report describes the State planning process for Vocational Education as it exists in the States, problems encountered by the States, and planning initiatives made by the States.

The commonalities and differences in the planning process in the States are identified. The various methods used to develop the State Plan are described. The origin of data going into the State plan is discussed, and the major steps in writing and reviewing the State Plan draft are traced.

A number of problems have been encountered by State planning personnel. The major problems, and the causes and possible effects of these are identified. State planners' suggestions for solving these problems are offered.

Although the study is strictly descriptive in nature -- that is, no statistical treatments were applied to the data -- an effort is made to gauge the effects of planning. Innovations in the planning process and examples of exceptional planning efforts are identified. Trends in the planning of Vocational Education are examined to determine whether the State Plans are true planning documents or merely compliance documents.

Finally, recommendations are offered which, if implemented, should improve the planning of Vocational Education. These recommendations are aimed at stimulating legislative action at the Federal level.

Executive Summary

Chapter I

In two-thirds of the States the actual writing of the State Plan is a joint effort. In those States in which a single individual is designated as the primary author, a division head in the State Vocational Education agency is generally the individual responsible for writing or compiling the State Plan. Only two States could be identified in which the State Advisory Council actively participates in writing the State Plan.

Two distinct and separate types of information are used in developing the State Plan: statistical planning data and policy information. While the States utilize a wide variety of sources for planning data -- statistics such as enrollments, projections and fiscal figures -- the general trend appears to be away from Federal sources to State sources. The most important sources of policy information identified by State planners in order of importance are staff within the State Vocational Education agency, the State Advisory Council, Local Education Agencies, the Department of Higher Education, institutions of higher education, and various State agencies other than the Vocational Education agency. Almost none of the State planners consider the public hearings to be an important source of policy input.

The general procedure followed in writing the State Plan consists of three major steps. The statistical data, necessary for evaluating accomplishments, identifying needs, and establishing goals and objectives, are gathered. The goals, objectives, and accomplishments of the previous years are reviewed. Then goals and objectives for the coming year are established, and a State Plan draft is written. The exact manner and sequence in which the steps are completed varies from State to State, and many States have elaborated upon the basic procedure.

The formal review and approval of the State Plan draft generally begins with the State Director for Vocational Education. The draft is then routed to the State Advisory Council for review, and a public hearing is held. The draft is then completed and sent to the State Board of Education for review and approval. The State Plan is then reviewed and approved by the State Attorney General and the Governor's office before being forwarded to the U. S. Office of Education (USOE) Regional Office. Again, the exact sequence varies somewhat among States. Several of the steps are specified by law, and apparently all of the States are fulfilling the legal requirements. After the State Plan has been approved by USOE, it becomes a legal agreement between the State and the Federal Government as well as the blueprint for administering Vocational Education programs within the State.

Chapter II

The States have encountered a number of problems in developing State Plans for Vocational Education. While some of these can be alleviated by additional effort at the State level, many cannot. Most will require action at the Federal level or action by State and Federal officials working together. These problems fall into several categories.

Planners have continually experienced difficulties in obtaining accurate, timely planning data. The lack of a clear cut, universally accepted set of definitions for Vocational Education terms, and the lack of guidance regarding data collection have cast considerable doubt on the accuracy of much of the data that is readily available. Additionally, some of the data that appear to be essential for realistic planning is simply not available. Data are often not collected and compiled in a manner oriented to the planner's needs. Until these deficiencies are corrected, accurate planning is impossible.

Federal planning requirements have also created problems for planners. The extreme degree of detail required and the lack of flexibility in requirements have encouraged writing of the State Plan more as a compliance document than as a true working plan. In the author's view Federal guidelines appear to have been written more to facilitate the review process at the Federal level than to encourage planning at the State level. In addition, the almost annual Federal changes in planning and reporting guidelines, requirements, and regulations have disrupted the continuity of planning. The lack of coordination between State and Federal officials during all phases of the planning process -- particularly the lack of adequate guidance from Federal officials on changes in requirements or format -- has been a constant source of frustration for State planners.

Problems in the funding of Vocational Education have affected planning. The general level of funding has impeded efforts to carry out the purpose of the Vocational Education Act, and encouraged planning based on monies expected rather than assessment of needs. States appear to favor funding by categories, but flexibility in transferring funds among categories is desirable. The annual problem of late appropriations by State and Federal legislatures has forced planners to rely on funding estimates and created a haphazard climate in which programs are reduced or expanded once funds are appropriated. This not only defeats good planning but also encourages States to engage in such practices as carrying over large amounts of funds for maintenance of the status quo.

The planning and reporting schedule required by USOE creates a sequential problem. Inadequate time is allowed for innovative planning following availability of the data. Actually, State plans are supposed to be submitted to USOE by the end of June each year, and local school reports are rarely completed before that date. State reports are certainly not available. Planning, therefore, must be based on data already one year old. In fact, many States have data no less than two years old, because the planning process must begin several months earlier. Thus the best most planners can do is rely upon estimates for current data.

Coordination among various State and Federal agencies, among States, and among law-making bodies has been minimal in most instances. Given the

wide variety of agencies involved in some phase of Vocational Education, systematic coordination efforts appear to be necessary. Conflicts exist between State and Federal laws, and the potential for additional conflicts is almost unlimited.

Chapter III

USOE has written rather specific requirements and guidelines to be followed by State planners when developing the State Plan and Annual Descriptive Report. Every State has made some effort beyond the basic requirements. These efforts seem to have been made for one of two principal reasons -- to improve the planning process, or to make the State Plan or Annual Descriptive Report more useful. The impact of these planning innovations has generally been restricted to single States or a small number of States, although, one innovation was found that had national impact. The effect of these innovations upon the planning process or upon programs, expenditures, or program results is impossible to ascertain.

During the period from FY 1971 to FY 1974, several trends emerged which should improve State planning for Vocational Education. Four major trends can be identified. First, State planners seem to be improving the continuity of the planning process by developing State Plans and Annual Descriptive Reports that will facilitate continuity of planning. Second, planners are moving away from broad, unmeasurable goals and objectives toward specific, measurable goals and objectives. This trend seems to have encouraged a more systematic approach to planning. Third, there is a definite trend toward the automation of data collection and reporting systems, increasing both the quantity and the quality of statistical data for planning purposes. Finally, the States are making an effort to involve more groups and individuals in the planning process. These trends should not only improve the planning process, but also increase the effectiveness and reality of the State Plan.

It was impossible to determine in a comprehensive manner the effect of State planning upon programs, expenditures, and program results. Several things seem to indicate that although the State Plan is still partially viewed as a compliance document, efforts are being made to develop it into a full-fledged working plan. A number of State planners readily admit that the State Plan was originally seen as a compliance document. However, they also say efforts are being made to increase its utility and make it a true working plan. The fact that most States write only one State Plan for Vocational Education would seem to lend credibility to this statement. Furthermore, all of the States have developed some supporting documents with the aim of making the plan more useful and understandable for local educational personnel. And, every State seems to have made some efforts beyond those required, or developed practices and procedures aimed at improving the planning process. Thus, while the State Plan is not yet a full-fledged working plan in all States, there appears to be a definite movement in that direction.

TABLE OF CONTENTS

	Page
ABSTRACT	i
EXECUTIVE SUMMARY	ii
TABLE OF CONTENTS	v
LIST OF TABLES AND FIGURE	vi
INTRODUCTION	1
CHAPTER I - THE PLANNING PROCESS	5
Who Does the Planning	7
Statistical Input	8
Policy Information	10
Putting the Plan Together	14
Reviewing the Draft	15
CHAPTER II - PROBLEMS AND DIFFICULTIES IN THE PLANNING PROCESS	18
Problems with the Planning Data	18
Problems in Federal Planning Requirements	22
Fiscal and Time Problems	24
Other Problems	26
CHAPTER III - THE RESULTS OF THE STATE PLANNING PROCESS	28
The Effect of Planning on Programs, Expenditures, and Results	28
Innovations by State Planners	36
Changes in State Planning 1971-1974	38
CHAPTER IV - RECOMMENDATIONS	42
APPENDIX A	45
APPENDIX B	47
APPENDIX C	48
APPENDIX D	51
BIOGRAPHICAL SKETCH OF THE AUTHOR	54

TABLES AND FIGURE

Page

CHAPTER I

Figure 1 - Who Writes the State Plan 7
Table 1 - Number of States Using State Data Sources 8
Table 2 - Number of States Using Federal Data Sources 9
Table 3 - Ranking of Sources of Policy Information 11
Table 4 - The State Advisory Council as a Source of Input, and Degree of Consultation 12

CHAPTER III

Table 5 - Number of States and Specificity of Assurance that Funds Will be Used Only for Programs Leading to Employment or Assisting in Occupational Choice 30
Table 6 - Number of States and Specificity of Planning for Dissemination of New Knowledge 30
Table 7 - The Relationship Between Well-Structured Planning and Percent of Expenditures for Disadvantaged 31
Table 8 - Specificity of Planning for Priority Funding for Areas of High Youth Unemployment or School Dropouts in State Plan 32
Table 9 - Extent of Funding Discussion for Areas of High Youth Unemployment and/or School Dropout 32
Table 10 - Extent of Planning and Evaluation of Progress Toward Making Vocational Education Accessible to All Who Desire It 33
Table 11 - Extent of Evaluation of Progress Toward Goals 34
Table 12 - The Extent of Relationship Between Annual and Long-Range Objectives 35
Table 13 - Extent of Consideration Given to Findings and Recommendations of the State Advisory Council by State Planners 40

INTRODUCTION

The Vocational Education Act (VEA) of 1963, amended in 1968, was passed to authorize Federal grants to the States for Vocational Education programs. The grants were intended to help the States maintain, extend, and improve existing programs, to develop new programs, and to provide part-time employment to young people who could not afford to continue in Vocational Education without some supplementary income. A major stipulation of the Act was that each State desiring to receive Federal grants for Vocational Education must submit to the Commissioner an annual State Plan containing specified assurances and information.

In order for a State Plan to be approved for any given year, certain requirements had to be met. The first three requirements related to the roles of the State organization and population in preparation and administration of the Plans. These stated that the Plan must be prepared in consultation with the State Advisory Council for Vocational Education, that the State Board of Education must be the sole agency for administering the Plan, and that the public must be given reasonable opportunity and notice for a hearing and be made aware of the State Board of Education policies and procedures for administration of the Plan.

The State Plan was to include a long-range (five-year) program plan describing the present and projected Vocational Education needs of the State and a set of objectives that would provide reasonable assurance of substantial progress toward meeting those needs. In addition, an annual plan was to be developed describing the programs, services, and activities to be carried out during the year as well as the allocations of Federal and State funds. The annual plan was also supposed to indicate how and to what extent the program objectives in the long-range plan would be carried out, the criteria used for distribution of Federal funds, and assurances that consideration was given to the findings and recommendations of the State Advisory Council for Vocational Education in preparing the State Plan.

The States were required to follow a detailed set of policies and procedures in distributing Federal grant funds to the various local education agencies (LEAs) within the States. The policies were designed to assure that a high priority for funds would be given to depressed areas, areas with high unemployment, and areas where youth unemployment and dropout rates were higher than the State average.

In addition the Act was very specific about the intent of programs to be funded. The Plan was to contain assurances that funds authorized would be used only for Vocational Education programs, i.e., programs that can be demonstrated to prepare students for employment, or are necessary to prepare individuals for successful completion of such a program, or are of significant assistance to students in making an informed and meaningful occupational choice. The only exception was consumer and homemaking programs under Part F. Under the definitions in the Act, no program preparing an individual for an occupation requiring a baccalaureate or higher degree could be included as a vocational program.

The purpose of this study is to examine the State planning process for Vocational Education in the fifty States, the District of Columbia, and Puerto Rico. The period from FY 1971 through FY 1974 was examined in order to present a broader picture of the apparent intentions, procedures and accomplishments of the States. This study describes only the planning done by the States that is directly related to the State Plan as it is submitted for approval as required by the VEA. A number of States may be engaged in self-initiated planning activities related to Vocational Education, but a comprehensive review of those activities is beyond the scope of this study. Furthermore, it is important to note that this study is a description of practices, programs, and policies that the States indicate are being implemented. A complete investigation of whether these plans were implemented was beyond the resources available for this study.

Three main sources of information were used: (1) the State Plans submitted by the States to the Federal Government for Fiscal Years 1971 through 1974; (2) the Annual Descriptive Reports for those years from each State; and (3) telephone conferences with persons in each State who had responsibility for or close involvement with the preparation of the State Plans and Annual Descriptive Reports. Reports from the State Advisory Councils and data contained in reports published by Project Baseline were also referred to.

The State Plans for FY 1971 and FY 1972 were divided into three parts. Part I was primarily a legal agreement made by each State with the Federal Government providing assurances that the State would comply with each requirement in the Act. Part II was the long-range program plan, and Part III was the annual plan. Beginning in FY 1973 Parts II and III were combined into one section describing annual and long-range plans. The formats were established by a set of guidelines published by the U. S. Office of Education, Bureau of Occupational and Adult Education (USOE/BOAE).

For the purposes of this study, key items based on the stated intent of the legislation were examined in detail over the four-year period. These items were chosen to gauge the extent to which the States were actually planning their Vocational Education programs as intended by Congress, or merely complying with a formalized procedure. USOE/BOAE guidelines were not referred to when the items were chosen, and it was later found that several of them did not appear in the guidelines. Many of the States were found to be including these, but others were not. A list of the key items is attached in Appendix A.

Once the items to review had been chosen, several State Plans were read carefully to determine which sections were likely to include references to or statements about them. In the remainder of the State Plans, only those sections pertaining to the key items were examined closely. Coverage of each of the key items, for each State and each year, was rated according to the judgment of the researchers on the following scale:

Rating	Description
Extensive	Considerable planning, detail or originality of design evident
Adequate	Evidence of some planning as well as minimum compliance
Minimal	Mentioned, bare compliance
No Mention	Could not find any relevant statements

Outstanding examples of what appeared to be exceptionally good planning, or bare minimum compliance were noted. In addition, notes were kept of outstanding points not related to the key items.

After each State Plan was examined, the corresponding Annual Descriptive Report was read. The Annual Descriptive Report written by each State is a summary and description of the year's activities and accomplishments. The format, also established by USOE/BOAE, is closely tied to the types of programs funded by the Act. The items checked in the Annual Descriptive Reports were rated according to the same scale as that used for the State Plans.

In conjunction with the reading of the State Plans and Annual Descriptive Reports, telephone conferences were held with key planning personnel in each State. The information sought was:

1. The basic procedure followed in writing the State Plan
   a) Person who writes it (by job title)
   b) Sources of information used (ranked in order of importance)
   c) Persons or agencies the draft is routed to for review or approval
2. Additional information including innovations or problems and general suggestions

While the telephone conferences were intended to provide a picture of an evolving set of planning procedures from FY 1971 through FY 1974, the responses probably most accurately reflected the procedures used in FY 1974. This information was combined with the related information gathered from the State Plans and Annual Descriptive Reports.

The information and conclusions presented by this study are based on subjective rather than statistical analysis. No further exploration or cross-referencing was done with any person other than those contacted in each State about basic procedures used in preparing the State Plans. In addition, no attempts were made to check the accuracy or validity of the materials published in the State Plans or Annual Descriptive Reports. Those were assumed to be as accurate as permitted by current data collection capability in each State.

The volume of the material to be reviewed, as well as time and personnel limitations, made it impossible to read each State Plan or Annual Descriptive Report completely. Therefore, overall judgments about the planning process were made on the basis of the key items chosen for review rather than the complete documents.

The set of State Plans and Annual Descriptive Reports available for review was nearly, but not entirely, complete. Those that were available are listed in Appendix B.

CHAPTER I

The Planning Process

For someone seeking a philosophy for State planning, the one expressed by the Division of Occupational Education Planning in New York seems appropriate.

> Planning is not a one-shot deal which occurs in a vacuum, performed by individuals divorced from where the action is. In fact the word "planning" in my opinion is a misnomer. One cannot isolate planning from the total process which includes, among other things, implementation, monitoring, and evaluation. Once the total concept of planning is recognized and accepted, then one realizes that the process is completely immersed into all operational aspects of the occupational education program at all levels - Federal, State, and local.
>
> For the planning process to be effective there has to be complete knowledge of what is occuring - where, when and how. In the field of occupational education, which operates within the educational structure with its parameters determined by forces, agencies and institutions outside of the educational structure, you have an extremely complex and constantly changing arena. To have the planning functions of occupational education performed out of context from the operational functions of the total program is suicidal.[1]

It may also be suicidal to try to operate the planning process in a Federal strait jacket. Because the State Plan for each coming year must be written while the current year's Plan is still in effect, there is often a two-year lag in identifying the effects of decisions made. This is especially true if evaluation is viewed as a finale, instead of being built into all programs. In order to prepare the State Plan within the time frame, vital data such as enrollments, populations, and expected level of funding are often only estimates. The States are to engage in planning which will encourage program flexibility, originality, and resourcefulness. However, this planning must be conducted within strict guidelines and in a fiscal environment in which appropriations often do not even approximate the fundings authorized by the Act.

---

[1] Letter from Florence E. Sutler to Arthur M. Lee, June 24, 1975.

On December 31, 1974 the Government Accounting Office (GAO) issued a report on Vocational Education in which it said: "Greater attention to systematic, coordinated, comprehensive planning at national, State, and local levels would improve the use of Federal funds and better insure that Vocational Education is provided in a manner that best serves student and community needs."[2]

Among the criticisms made by the GAO were the following:

1. State Plans are more often compliance documents than actual working plans.

2. Needs assessment is not conducted in a systematic, continuing fashion.

3. States are not organized in a manner that facilitates planning.

4. State Advisory Council input is not effectively utilized.

5. Considerable pertinent planning data is unavailable, inadequate, or unused.[3]

It is not the purpose of this study to either dispute or support those conclusions but rather to describe the State planning process in more detail. The GAO report was based on an audit of seven States. This study examines planning procedures as they are carried out in the fifty States, the District of Columbia and Puerto Rico. In doing so, an attempt is made to answer the following questions:

1. Who does the planning in the States, and where do they get the information they need to write the Plans?

2. To what extent are State Advisory Councils involved in Vocational Education planning?

3. What problems are encountered by those who write the State Plan?

4. Are there examples of outstanding or original planning practices?

5. Were there any noticeable improvements in State planning procedures from FY 1971 to FY 1974?

6. Are the State Plans written as genuine plans intended for implementation or are they largely compliance documents?

7. What can be done to improve the planning process?

---

[2]U.S., General Accounting Office, What is the Role of Federal Assistance for Vocational Education?, (Washington: Government Printing Office, 1974), p.ii.

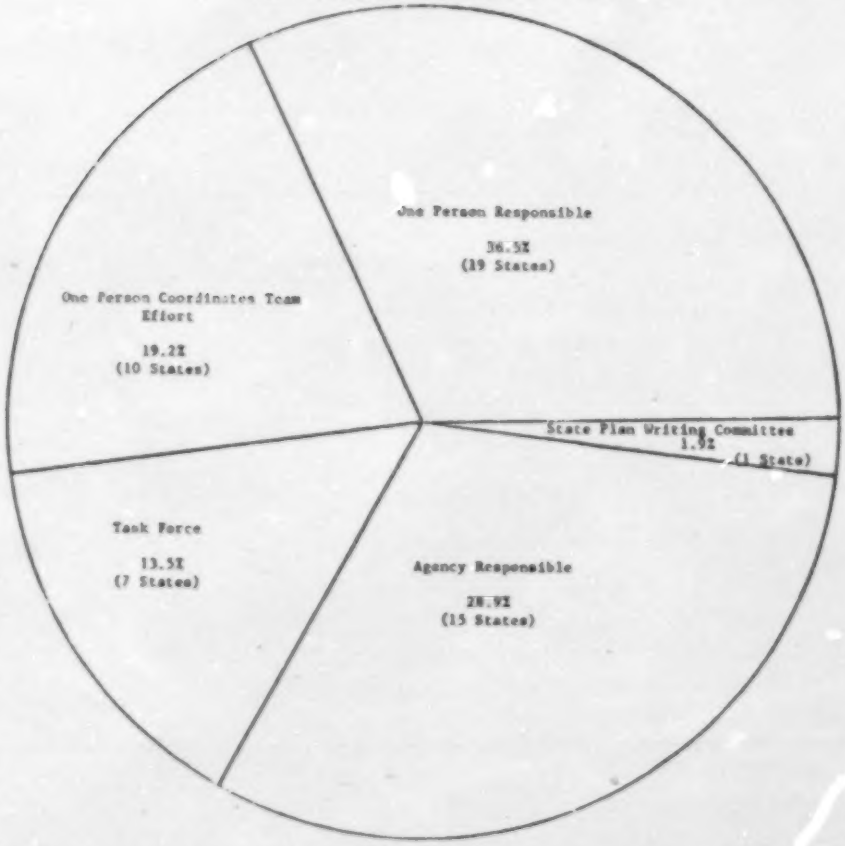
[3]Ibid, p.22.

Who Does the Planning?

In nineteen States a single individual has the responsibility for writing the State Plan (Figure 1). Three of these individuals are State directors of Vocational Education (sometimes called associate commissioners), two are assistant directors, thirteen are heads of divisions within the State Vocational Education agency or State supervisors of a particular vocational area, and one is a staff member.

FIGURE 1

Who Writes The State Plan?



Source: Data collected by Project Baseline from all fifty States, the District of Columbia, and Puerto Rico.

In ten other States, one person is designated as the principal author, but his efforts are supported by a team, and portions of the State Plan are written by designated members of the team. The distribution was about the same as above -- three State directors, one assistant director, and six heads of divisions. Even in the nineteen States in which one person is responsible for writing the Plan, there are indications that at least parts of the plan are a team effort. For example, in most of those States members of the department staff are among the principal sources of input.

In seven States the task is the responsibility of either the entire State Vocational Education agency or of a task force drawn from the staff. All but one of the remaining fifteen States have their Plans prepared by particular agencies such as the Division of Program Planning (three States), the RCU (eight States), the Career Education Division (two States), or the State Department of Elementary and Secondary Education (one State). The remaining State has a specially designated State Plan Writing Committee. Figure 1 displays the percentage of the fifty-two States (including the District of Columbia and Puerto Rico) using each of the described procedures.

The State Advisory Council for Vocational Education had part of the responsibility for actually writing the State Plan in only two States. In one of these, the Advisory Council and the State Department had separate State Plan Writing Committees. In the other, the Advisory Council participated in the writing along with administrative assistants and a State committee of thirty members, coordinated by the State Director.

Statistical Input

Planning data in the State Plan are of two types. The first is statistical information; the other involves recommendations and decisions about program priorities and other policy matters.

The major sources of statistical data used by various States in the planning process are found in Tables 1 (State sources) and 2 (Federal sources). These tables include data from each of the four years FY 1971-74 in order to determine possible trends. A slight decrease in the use of

TABLE 1 - NUMBER OF STATES USING STATE DATA SOURCES[1]

EDUCATIONAL AGENCY	Number of States			
	FY 1971	FY 1972	FY 1973	FY 1974
State Department of Education	30	42	33	38
State College Board	7		3	5
State Division of Vocational Rehabilitation	9	14	5	4
State Board	2	1	12	6
State Universities	17	19	19	18
Public and Vocational Schools	5	7		2
Private Institutions	1		2	3

[1]Only those sources listed by at least three States for one of the four years were included in this table.

TABLE 1 - continued

NON-EDUCATIONAL AGENCY	Number of States			
	FY 1971	FY 1972	FY 1973	FY 1974
CAMPS (Cooperative Area Manpower Planning System)	18	19	9	14
Employment Security	26	30	33	29
Department of Labor	5	8	11	14
Health Department	10	9	7	7
Human Relations	4	5	4	5
Department of Welfare	8	14	4	10
Office of State Planning	7	8	4	7
State Chamber of Commerce	6	5	3	7
Department of Economic and Business Development	4	11	3	8

Source: Data collected by Project Baseline from all fifty States, the District of Columbia and Puerto Rico.

TABLE 2 - NUMBER OF STATES USING FEDERAL DATA SOURCES[1]

FEDERAL AGENCY	Number of States			
	FY 1971	FY 1972	FY 1973	FY 1974
Bureau of Census	18	25	29	33
Bureau of Economic Security	8	2	1	
Bureau of Statistics	5	2		3
Department of HEW	6	5		2
Department of Labor	14	14	6	3
Department of Commerce	16	18	10	17
Department of Agriculture	2	5	4	3

[1]Only those sources listed by at least three States for one of the four years were included in this table.

Source: Data collected by Project Baseline from the fifty States, the District of Columbia, and Puerto Rico.

health department information and a slight increase in the use of information from private institutions can be seen in Table 1, but the changes are small. Table 2 indicates that data from the Bureau of the Census are being used by an increasing number of States. The two tables seem to indicate that States may be moving away from Federal data sources to State data sources. This may be due to the increase in the use of Management Information Systems (MIS) in the States. The MIS is generally viewed as a data collection, compilation, and storage system rather than a source of data. Data that would be revised only periodically, such as census data, would be stored in the MIS, but the Bureau of the Census would continue to be credited as the source of the information.

The major statistical data sources at the State level are the State Department of Education, the Employment Security Agency, colleges and universities, and CAMPS (Cooperative Area Manpower Planning System). The LEAs provide a major part of the necessary planning data, but these are usually compiled before they are received by the State planners -- the LEA data come indirectly through an agency within the State Department of Education.

The two most important Federal sources of planning data are the Bureau of the Census and the Department of Commerce. Because of the manner in which data sources are credited in the State Plans, many States have probably credited the Bureau of the Census under the Department of Commerce instead of separately. The fact that the importance of several Federal data sources is decreasing probably reflects the increasing capabilities of comparable State agencies.

Some of the more unusual data sources identified were State Departments of Corrections, U. S. Department of Housing and Urban Development, State Examination Boards for specific occupations such as cosmetology, regional or interregional planning programs such as DELMARVA (a tri-State planning association), and various magazines and reports. A complete list of the sources of planning data identified is found in Appendix C.

Policy Information

Table 3 lists the sources of policy information considered most important by the States. Five major sources are common to the majority of the States. These are the State Vocational Education staff; State Advisory Councils; LEAs; colleges, universities, and departments of higher education; and various State agencies.

Twenty States indicated that the most important information was that received from the State Vocational Education staff, identified as the operations division, development division, RCU, bureau of State planning, or career program planning, as well as State staff or supervisors of program areas. State planners appear to rely most upon State education agency personnel to inform them of policy changes and modifications. In many cases these agencies are directly involved in the

TABLE 3 - RANKING OF SOURCES OF POLICY INFORMATION[1]

Source	Number of States Ranking Sources				
	First	Second	Third	Fourth or Lower[2]	Total Unduplicated
State Advisory Council	3	10	8	17	38
State Vocational Education Staff	20	6	4	18	37
Local Education Agencies	6	5	7	15	33
Colleges, Universities, and Dept. of Higher Education	2	6	1	24	33
State Agencies (various)	3	1	3	28	30
State Board	1	1	3	7	12
Public Hearings	1			7	8
Local Advisory Committees		3		2	5
Dept. of Economic Affairs and Community Relations				5	5

[1]Only those sources listed by three or more States for any given year are included in this table.

[2]This category includes States that did not rank their sources.

Source: Data collected by Project Baseline from the fifty States, the District of Columbia and Puerto Rico.

actual writing or reviewing of the State Plan as well as monitoring Vocational Education programs, so they are an ideal and easily accessible source of policy information for State planners.

The State Advisory Councils for Vocational Education were one of the major innovations in the VEA and were intended to be a major source of policy input. Their role as outlined by the VEA is strictly advisory. An Advisory Council has no legal basis under the Act by which it can force State planners to implement its recommendations. Nor does it have the power or responsibility to approve or disapprove the State Plan.

Twelve States preferred not to rank sources of information in order of importance; eight of those included the Advisory Council among their sources. Of the States ranking their sources, three listed the Advisory Council as the most important, ten ranked it second, and eight ranked it third.

The response by each Advisory Council to the question, "Is consultation with the State Advisory Council adequate?"[4] was compared to the State's ranking of the Council as a source of information; see Table 4.

TABLE 4 - THE STATE ADVISORY COUNCIL AS A SOURCE OF INPUT, AND DEGREE OF CONSULTATION

Advisory Council's Evaluation of the Degree to Which It is Consulted	Importance of the Advisory Council's Input as Indicated by State Planners		
	Among the Three Most Important	Not Among the Three Most Important or Not Ranked	Not Mentioned as a Major Source
Excellent	11	4	2
Adequate	8	6	5
Minimal	2	5	7
No Response	0	2	0

Source: Data collected by Baseline from the fifty States, the District of Columbia, and Puerto Rico and Impact of the Vocational Education Amendments of 1968, National and State Advisory Councils on Vocational Education, April, 1974.

---

[4]National and State Advisory Councils on Vocational Education, The Impact of the Vocational Education Amendments of 1968, (A report prepared for Congressional Oversight Hearing, 1974), Appendix I, P.2.

It was found that of the twenty-one States ranking the Advisory Council among the top three sources, nineteen of their Advisory Councils, or ninety percent, rated the extent of consultation as at least adequate; eleven of those rated it excellent. The other two rated the extent of consultation as less than adequate, and for one of those, the response was ambiguous and difficult to classify.

The number of States ranking the Advisory Council as fourth or lower, or including the Advisory Council without a rank, was seventeen. Of those, ten of the Advisory Councils rated the extent of consultation as at least adequate, five rated the extent of consultation as minimal, and two did not respond. Advisory Councils from seven of the fourteen States not listing them as a source of information considered the extent of consultation at least adequate, and seven considered it minimal.

If State planners believe that the State Advisory Council is an important source of policy input, the Council is more likely to feel that it has been adequately consulted. It appears that those States that listed the Council as an important source actively seek input from it.

The USOE/BOAE State Plan guidelines for the period from FY 1971 to FY 1974 did not include any requirement that the recommendations of the State Advisory Council be contained in the State Plan. The only requirement pertinent to the State Advisory Council was that a certificate be included assuring that the State Plan was prepared in consultation with it.

LEAs, colleges, universities, and departments of higher education are also important sources of policy information. The LEAs provide information about policy changes needed at the local level that must be compiled by State education agency personnel in an effort to develop statewide policies that will be beneficial to the majority of LEAs. The bulk of the information provided by colleges, universities, and departments of higher education is pertinent to policies relating to vocational teacher education. Information is also provided about policy changes indicated by the results of research or special programs.

The fifth major source includes such State agencies as Vocational Rehabilitation, Research and Educational Statistics, Manpower Training, Special Education, Programs and Operations, State Superintendents Association and Office of the Governor. The information received from these agencies is usually very specialized in nature or is sought when overlapping areas of responsibility require coordinated policies. It is interesting to note that public hearings and local advisory committees were not considered very important as sources.

A wide variety of additional sources of policy information were identified by only one or two States. Examples of these are: The National Advisory Council on Vocational Education, an intertribal council, various regional commissions, Commission for the Blind, and officials associated with manpower or Comprehensive Employment and Training Act (CETA) programs. These and all other sources of policy information are included in Appendix C.

Putting the Plan Together

The actual gathering, reviewing, and compiling of planning data generally begins about December 1. The process occurs before, concurrent with, and after the review of the previous years' accomplishments, goals and objectives as data needs are identified. It should be evident that any data related to school enrollments, expenditures, or programs and research results must be gathered from preliminary reports. In many cases estimates or indicators must be used.

The initial step in the actual development of the State Plan is the review of the policies, goals, objectives, accomplishments, and shortcomings of the previous years. This generally involves three basic procedures or a combination of procedures -- an "in-house" effort by the staff of the State Vocational Education Agency, an evaluation by the State Advisory Council, or comments and suggestions solicited from the public. Regardless of the specific procedures, the goals and objectives for the State Plan are based on evaluations of past performance as well as particular needs identified by the data. This phase of the development of the State Plan usually begins about the middle of January and is completed by the middle of February.

Following the establishment of goals and objectives for the coming year, writing begins on the initial State Plan draft. In a majority of the States this is a team effort, and the writing, compiling, and editing of the initial draft are completed by mid-March. Then the formal review and approval process begins. Rewriting and revising of the initial draft continue throughout the review and approval process, as efforts are made to incorporate the comments and suggestions made by various individuals or groups.

While this is the basic procedure followed in developing the State Plan draft, most States have elaborated on at least one of the basic steps. Many States utilize annual and long-range plans developed by the LEAs as input to the State Plan. The local plans are reviewed and compiled before the goals and objectives for the State Plan are developed. This not only provides a formal vehicle for input from LEA officials, but also gives State planners a view of needs as seen at the local level.

Several States have incorporated a review of the initial State Plan draft into the writing process. Thus the many suggestions may be evaluated and incorporated into the draft before it is submitted to the formal review and approval process. In Nebraska, the initial draft is reviewed by all users, such as LEAs and post-secondary and higher education institutions, before the final draft is compiled. A similar technique is used in New Hampshire, where the draft is reviewed by local directors. Nineteen States have incorporated a preliminary review of the initial State Plan draft into the writing process before the final draft is submitted for formal review and approval. This preliminary review is generally conducted by the State Advisory Council, a subcommittee of the council, the State Board, or the USOE Regional Office.

Reviewing the Draft

The process followed in reviewing the State Plan draft varies from State to State, although a general pattern can be identified. This is a result of the legal review requirements imposed by law. Review and/or approval is required of State officials and agencies such as the State Board, the State Advisory Council, and the Attorney General. An additional requirement under the VEA is that at least one public hearing be held. While many States have amplified the approval process either to increase planning effectiveness or to comply with State laws, all States appear to be fulfilling the legal requirements imposed by Federal regulations.

For those States in which the State Director of Vocational Education is not directly in charge of compiling or writing the State Plan, the initial step in the review process is approval of the draft by the State Director. Although this step was not included as a formal step in the process by some States, it is very likely that it is an informal one.

Once the draft has been reviewed and approved by the State Director, it usually is routed to the State Advisory Council for review and recommendations about April 1. In several States the initial review is made by a subcommittee of the State Advisory Council and recommendations of the entire council are obtained after the public hearing. For the majority of the States, the first formal contact the State Advisory Council has with the State Plan draft is just prior to the public hearing. Seventeen States hold meetings with individuals or subcommittees from the State Advisory Council prior to preparation of the first draft. In twenty-one States the Advisory Councils are provided copies of the first draft for their recommendations and suggestions prior to the required public hearing. Thus revisions can be made, on the basis of those suggestions and at the discretion of the State Department of Vocational Education, before taking the draft to the hearing. In five States the Advisory Council reviewed the draft only in conjunction with the public hearing. Three States do not include the Advisory Council in the sequence until after the public hearing. (Of those, one held the public hearing fairly early in the sequence. The other two States were among those whose Advisory Councils felt they were not adequately consulted.) While the remaining six States mentioned the State Advisory Council in the review and approval process, its place in the sequence was not identified.

The public hearing can be an important source of input for State planners and is viewed as such in a number of States. Forty-six States specifically mentioned the public hearing as a step in the review sequence. This may tend to indicate the importance planners attach to the hearings. Certificates included with the State Plan indicate that the remaining six States also held at least one public hearing.

Sixteen States hold more than one hearing, and several hold three or more. One State holds nine hearings. Some hearings are relatively informal. Thirty States allow time for revision of the State Plan draft to incorporate information gathered during the public hearings. The

public hearings are usually arranged and conducted by the State Vocational Education agency, the State Advisory Council, or the State Board, and generally scheduled for mid-April. Notices to the public indicating the date, time, and location must be published for six consecutive days prior to the hearing. Most States publish notices one month prior to the hearing.

In some States participation in the public hearings has been both encouraging and helpful. Attendance in other States has frequently been disappointing, with as few as two persons attending. The methods used to notify the general public about the location and time of public hearings varies from State to State. Those States that hold only one public hearing often hold it in the State capital. A number of States have begun to hold regional hearings in an effort to encourage better attendance.

Additionally, many States have been making efforts to encourage more informed participation at the public hearings. Seventeen States mail draft copies or portions of the draft to persons or agencies throughout the State other than the State Vocational Education agency or the Advisory Council for review or suggestions. Some examples are the division of employment security, department of vocational rehabilitation, State department of labor, public libraries, corporation counsels, State prisons, and occupational deans of community colleges. Two States send letters to teachers, administrators and school superintendents asking for suggestions based on their experiences with previous plans. Eight additional States send copies of the draft to local school personnel.

Following the public hearing, the majority of States engage in activities designed to evaluate the comments and suggestions offered thus far in the review process. Although this may be an ongoing effort in many States, a number identified it as a formal step in the process. Those comments or suggestions found to be valid and useful are then incorporated into the State Plan draft. In several States, written justification must be developed when suggestions are not incorporated into the State Plan. It was found, however, that in one State the State Plan is considered to be in final form before the public hearing, and any comments and suggestions gathered at the hearing are applied to the following year's plan.

After any necessary revisions or corrections, the State Plan is generally considered to be in its final form. It is then sent to the State Board for review and approval. This step is required by law and a certificate from the State Board must be included with the State Plan when it is submitted to the USOE Regional Office. In one State the State Board holds a public hearing before final approval. The Plan is usually completed by May 1 and approved by the State Board.

The review of the final Plan by the State Attorney General is also required by law. The purpose of this review is to determine that none of the processes or objectives outlined in the Plan violates State or Federal laws. Once it has been determined that the Plan conforms to

the statutes, a certificate to that effect is prepared for inclusion with it. The review by the State Attorney General may occur before, concurrent with or after the Plan has been reviewed by the Governor's Office. In any case, review and approval by both are accomplished by mid-May.

The role of the Governor in the writing, review, and approval process varies from State to State. In several States the Governor has at least one member of his staff formally involved in the writing of the draft. In other instances, input from the Governor's office is sought on a more informal basis during the writing. There also are a number of States in which the Governor's office is not directly involved in the development of the Plan until it is ready for review and approval.

Once the final draft has been reviewed and approved at the State level, the required signatures and certificates are incorporated, and it is submitted to the USOE Regional Office prior to June 30. Traditionally, this has been the first opportunity for the various State planners to interact with USOE personnel about the State Plan. This trend seems to be changing. A number of States are obtaining assistance from personnel at the Regional Offices through preliminary reviews of the draft or planning workshops. These techniques allow State planners to make corrections in the draft before it is completed. Once the State Plan is formally submitted to the Regional Office, it is either approved or returned for necessary revisions. When approved, it becomes the document upon which Federal funding to the State for Vocational Education is based.

CHAPTER II

Problems And Difficulties In The Planning Process

One of the major intentions of the VEA was to encourage the States to engage in realistic and comprehensive planning, to be based on the needs of the citizens as well as the needs of the State. This may well have been the first time such an ambitious planning activity was undertaken by educational agencies and institutions. The enormity of the undertaking has created problems. Combined with previously existing problems in Vocational Education, these have limited the effectiveness of the planning process to some extent.

Problems with the Planning Data

One of the major shortcomings identified by the GAO in Vocational Education planning was that necessary planning data were often unavailable, inadequate, or unused. The lack of clear-cut, universally accepted definitions for those terms commonly used by Vocational Education planners has created ambiguity in some planning data. The obvious need to develop a set of definitions has been a concern of Project Baseline almost since its inception.

Among the most important data affected by problems of definition are enrollment counts. Although the problem exists to some degree in all States and at all levels, it is most evident in post-secondary and adult Vocational Education programs. The following excerpt from the New Jersey Annual Descriptive Report for FY 1971 illustrates the extent of the problem.

> In the first place, it is difficult to distinguish in adult education between a vocational and a non-vocational program. For instance, in a course of automobile mechanics for adults, some enrollees may well be vocationally oriented while others may only be interested in learning some fundamentals so that they will hopefully be able to do maintenance or minor repair work on their own automobiles. Unless efforts are made to find out the motive and purpose of every enrollee in the class, there is no precise way of arriving at realistic statistics for vocational enrollment.
>
> In the second place, there is no way to distinguish a post-secondary student from an adult student in some of the programs. When there are mixed attendants in a class (including both adults and post-secondary students) there is just no way to arrive at an exact counting

unless each and everyone's educational background and employment status can be identified.

In the third place, adult classes meet only once a week in most cases in New Jersey. If an adult takes, for example, two courses a week (belonging to two vocational programs) and altogether he takes four different courses in a year, should he be counted once or four times? This question has not been clarified either at the State or at the local level.

Finally, New Jersey's adult education courses in the evening schools vary from 16 to 64 hours in length. It seems then, that an adult attending a 64 hour course should be considered four times in weight as compared with one attending a 16 hour course. This opens up a question of real meaning or mere head counting of enrollment.[5]

Until all these problems in data gathering are solved, statistics in adult Vocational Education are susceptible to questions.

Continuity and consistency in the planning process are adversely affected by lack of clear definitions for such basic terms as reimbursable programs, post-secondary education, adult education, and even Vocational Education, and disagreement over whether to use duplicated or unduplicated counts, head counts, or full-time equivalents. During this study, it became evident that many States used different counting methods for different purposes within the same year, with little or no explanation offered. For a surprising number of States, the enrollment figures reported and projected in the State Plan did not correspond to those given in the Annual Descriptive Report. Nor did either set of figures match those in the Federal reporting forms. Differences of twenty percent were not uncommon. Such inconsistencies bring into question planning based upon the evaluation of accomplishments in terms of goals and objectives. This in turn, may well lead to the establishment of questionable goals and objectives for following years. In addition, these inconsistencies make it difficult for the reviewers of State Plans to identify needs and correct poor or inadequate planning. The States have recommended that action be taken at the Federal level to develop a complete and concise set of definitions for the terms pertinent to Vocational Education, and that procedures be standardized for gathering data such as enrollment counts.

The lack of some types of planning data -- particularly on special groups, follow-up and manpower -- is a problem that affects all State planners to some degree. Two significant examples of data that should be available, but often are not, are the youth unemployment rate and the school dropout rate. At least fifteen States did not collect one or both on a statewide basis. In the absence of specific youth unemployment data, many States base their funding on the assumption that youth unemployment rates are proportional to the general unemployment rate. A major emphasis of the VEA is that areas with high youth unemployment and/or high dropout rates should receive priority in terms of funding. But without specific data on youth unemployment and dropouts, priorities cannot be accurately assigned.

---

[5]New Jersey, Annual Descriptive Report, (1971), pp. 6-7

While the VEA encourages, and in some instances requires, that programs be planned and developed to meet the needs of special groups, data about these special groups are often sketchy or unavailable. Deciding just which individuals should be considered members of a special group is a problem of definition, but that is only part of the problem. Under the present system of collecting only head counts within broad categories such as handicapped or disadvantaged, the minimum amount of planning data is obtained. Unless data are collected with reference to special characteristics, it is impossible for planners to effectively plan the expansion, modification, or elimination of special programs based upon results. Unless data are available that indicate what special techniques or programs are effective in terms of each special characteristic, planners can only base their judgments upon broad, general indicators.

Some follow-up data on former Vocational Education students are available, but much more are needed. The State of Georgia is proposing a more extensive follow-up effort, and its FY 1974 Descriptive Report cites as the main justification that the follow-up data will "provide necessary feedback to permit evaluation of program content in order to bring about program improvement."[6] The FY 1974 Vermont Annual Descriptive Report identified the need for additional follow-up data; "More emphasis on graduate follow-up is needed so that he (the student) can provide evaluation on programs and therefore give direction to change."[7] If more effective planning is to take place, one- and five-year follow-up data by OE codes or occupational clusters must be collected. Feedback from former students and employers can provide evaluations of program effectiveness not available to planners by any other means. Also, data relating to starting salaries and future plans of graduates continuing their education can be invaluable to planners deciding whether to maintain, expand, reduce, or eliminate programs. It would seem of doubtful benefit to continue programs aimed at occupations in which the starting salaries are so low that graduates will not enter the fields. Nor can planners adequately judge manpower needs unless they know what fields students continuing their education intend to enter.

A problem of reliability is associated with follow-up data. If the follow-up is conducted too soon after the former student has left the program, accurate data may not be obtained. In many cases neither the graduate nor the employer has had sufficient time to objectively evaluate the adequacy of job preparation and performance. Furthermore, if the objective of the follow-up is to determine whether graduates are entering the occupations for which they were trained, adequate time must be allowed for them to obtain employment in their area of training.

Several reasons exist for the lack or inadequacy of data on special groups and follow-up of former students. Data collection efforts have

---

[6]Georgia, Annual Descriptive Report, (1974), p. 90.

[7]Vermont, Annual Descriptive Report, (1974), p. 132.

been sharply restricted by recent State and Federal laws. Many States are financially unable to initiate large, long-term data collection efforts. State and local educational personnel are already overburdened by the data collection efforts necessary to fulfill existing State and Federal requirements. And finally, even if the States were able to collect these data, the only efficient way to compile and edit the data and make them available to planners would be through a computerized system. The majority of the States do not have the hardware or software necessary to utilize the data effectively. State planners and State Advisory Councils have continually recommended to State and Federal legislators that funds be appropriated to initiate or expand management information system activities.

In their FY 1974 Annual Descriptive Report, Florida planners noted:

> The greatest single handicap to the orderly development of a vocational education program within a state is the lack of up-to-date labor market information on a continuing basis for use in program and evaluation.
>
> There is a philosophy which has been expressed from time to time that the U. S. Department of Labor is the federal agency responsible for the manpower of the nation. If such is a prime responsibility of the U. S. Department of Labor, there has been no appropriate definitive labor market data at state and local levels which is usable in planning and evaluating vocational education programs. This need has been pin-pointed by vocational educators for a number of years. Too often, vocational education has received criticism for not meeting manpower needs but there have been no specific efforts other than that by vocational educators to determine the occupations for which training programs are justified.[8]

If State and local planners are to plan effectively, they must have accurate, timely population and manpower data. It is often desirable to have such data in terms of different geographic units such as region, State, metropolitan area, or school district. State planners would seem to need data at hand allowing them to take into account the mobility of modern society. A number of States have repeatedly recommended that regional as well as national manpower data be developed and made available. The Vermont FY 1974 Annual Descriptive Report offered a suggestion aimed at alleviating part of the manpower data problem. "There is still a need for expanded manpower data at the local and State levels for program planning purposes. Funding of Section 103 (a) (1) of the Act by Congress would provide resources for the State Employment Security office to expand this important activity."[9]

---

[8]Florida, Annual Descriptive Report, (1974), p. 87.

[9]Vermont, op. cit., p. 129.

Also needed but not available are the projected manpower outputs from sources other than Vocational Education. Vocational Education cannot, nor is it expected to, provide all of the trained manpower for the Nation. Thus, there is a definite need for data indicating what portion of each manpower need is expected to be satisfied by programs other than Vocational Education. Such data would allow State planners to more accurately identify training needs and establish priorities. These data should also be developed in a manner that would facilitate their use by local, State, and Federal planners, by being capable of describing outputs in terms of metropolitan areas, counties, States or regions. While describing manpower outputs in terms of the Nation or each State would be an improvement over the current situation, State planners need more definitive data.

Somewhat related to the problems of ambiguity and non-availability of some planning data is the problem of data accuracy. Manpower needs projections, a basic input to Vocational Education planning, have traditionally been suspect in terms of their accuracy. Those who make manpower projections generally utilize a formula developed to reflect what has happened in the past. Future manpower needs are computed on the assumption that factors affecting the occupational structure, such as economic climate and rate of automation, will continue to operate as in the past. This assumption is often false, so manpower needs projections are often rough estimates at best.

Data accuracy is also related to the methods used in data collection. When large quantities of data are being collected, as in the case of enrollment figures, well-designed automated data collection systems tend to produce more accurate data than hand collection methods. Human error, individual judgment, and the chance of misunderstanding are maximized by hand collection methods. These problems are minimized in an automated collection system. Thus the accuracy of the data State planners have available is related to the degree to which their State has automated its reporting system. Efforts should be made to maximize the accuracy of all planning data.

Problems in Federal Planning Requirements

One of the most common criticisms of the Federal planning requirements is that they are too specific and do not allow adequate flexibility. An example of this concern is found in the suggestions of the FY 1974 Pennsylvania Annual Descriptive Report.

> The format in developing the State-Federal Plan for Vocational Education demands extreme time consuming effort which, in my judgment, provides limited assistance to state and local administrators with respect to implementation.
>
> A more innovative plan should be developed in a more simplified format which presents the general policies and criteria for developing the state program to meet Pennsylvania conditions, program and fiscal emphasis or requirements.

> It should outline the basic minimum requirements for receiving funds and the state prepare and submit a compliance document plan specifying the state's program objectives, general plans for achieving the objective, and certifying compliance with the federal requirement.[10]

This criticism is also leveled at the reporting format. The Pennsylvania Annual Descriptive Report also suggests that there is a need to:

> Develop a realistic and more practical format for states' annual reporting to the U. S. Office. Such a report should emphasize development of programs and services and future needs rather than numbers and classification of people in programs.[11]

In addition to the lack of flexibility in terms of the format or physical layout of the State Plan and Annual Descriptive Report, there is a lack of flexibility in the actual planning or program guidelines. This does not allow State planners to meet the unique needs of their State. The National Advisory Council reported in The Impact of the Vocational Education Amendments of 1968 that, of thirty-seven States responding, twenty-two thought the regulations, guidelines, and management practices were at least minimally restrictive, and ten thought them to be extremely restrictive.[12] An example of this problem is the wage and earning limitation relative to cooperative and work study programs. Many States have pointed out that these regulations are unrealistic and are discouraging students and employers from participating in these programs.

State planners have frequently complained that planning and reporting guidelines are generally developed without adequate input from State personnel. They are of the opinion that the documents developed under such conditions are less useful than those that could be produced if State personnel were more actively consulted when regulations, guidelines, and formats are being developed. Furthermore, there is the problem of frequent changes in requirements, guidelines, and formats. These changes not only tend to destroy the continuity of year-to-year planning, but also cause considerable frustration for State and local planners. The lack of adequate guidance and definition following changes hampers orderly change and increases the problems involved in retraining personnel. Format changes become increasingly expensive as a State moves toward computerization of its reporting system, and without explanation of the reasons for such changes, they often seem to have been made without adequate justification.

Coordination between State and Federal personnel during the actual planning process has also been lacking. Efforts to eliminate this problem are being made. A number of States have reported that they are

---

[10] Pennsylvania, Annual Descriptive Report, (1974, p. 61.

[11] Ibid.

[12] National and State Advisory Councils, op. cit., p. 8.

receiving guidance and assistance from USOE regional personnel during the writing of the State Plan. As a further solution to this problem it was suggested that national priorities or objectives be established for Vocational Education. Additionally, USOE has access to research results, data, and personnel with expertise that could be extremely helpful to State planners and facilitate the planning process.

Fiscal and Time Problems

The most general fiscal problem is the level of funding under the VEA. Almost every State has said the reduced level of funding has seriously hampered efforts to carry out the purposes of the Act. One of the major purposes of VEA was to insure that Vocational Education was made available to all who want, need and can profit from such programs. The National Advisory Council on Vocational Education asked each State Advisory Council when its State could furnish Vocational Education to "all persons in all communities of the State" and the response was reported in The Impact of the Vocational Education Amendments of 1968. With thirty-one States responding in the report:

> Some States said as early as 1980, but the vast majority estimated needs could not be met until 1990 or beyond. One State (Missouri), which developed a detailed model based on the present level of funding, of population growth, and of percentage of the population needing Vocational Education, estimated the target could not be met until the year 2165. The concensus was that if the intent of the law is to be met in a reasonable time, funding must be expanded and accelerated.[13]

Without the monies necessary to meet the existing needs, effective planning is difficult. Not only is it necessary to have sufficient funds for programs, but funds to conduct planning activities are also needed. A total assessment of the need for Vocational Education in any State would require considerable time, effort, and money. State educational personnel are extremely hesitant to make such an expenditure when the prospect of obtaining the funds necessary to meet the need seems rather dim.

The vast majority of the States have repeatedly urged that the funds allocated under the VEA more closely approximate the levels originally authorized by the Act, and that the focus of these funds should be occupational education. They have pointed out that the emergence of the career education concept on the national scene has further pinched an already tight Vocational Education budget. In many cases, funds for career education programs have come almost entirely from Vocational Education sources. As a partial solution to the fiscal

---

[13]Ibid, p. 11.

problems, State planners have recommended that separate funds be appropriated for career education, to permit Vocational Education funds to be used solely for that purpose.

Nine States have specifically reported that a majority of their existing facilities are, or soon will be, full to capacity, and that applicants are being turned away. There is reason to believe this problem exists in almost all States to varying degrees. State planners in two States forecast that unless additional funds for construction are made available, planning for the wise and efficient use of funds allocated for operating programs will be seriously constrained. Along this same line, States have identified the need for funds to purchase new equipment if present programs are to be expanded or new programs initiated. Funds to repair existing equipment are also needed if existing programs are to be continued at current levels. The crux of the problem is embodied in the statements made by California and Florida that Federal grants often appear to be made without regard to State priorities, needs, or personnel. A number of State personnel recommend that regulations be relaxed to allow more flexible use of funds within the established categories.

The timing of the release of Federal funds for Vocational Education has created two distinct problems for State planners. Although only eight States said specifically that difficulties in obtaining information about the amount of Federal monies to be available hampered planning, the problem is universal. This problem results because the appropriations for Vocational Education are delayed by Federal, and sometimes State, legislatures almost every eyar.

State planners are often unable to obtain accurate, timely information about how much Federal aid will be available. State Plans must then be based upon estimates of funds expected to be appropriated. Once the appropriations have been made, planners are often forced to make last-minute decisions to cut or expand offerings. One State, Washington, observed that, given the present system, the planning process tends to focus on spending a given amount of money rather than identifying and meeting the needs of people. Planners are often forced into a position of devising ways to expend unexpected funds rather than actually planning how funds could be used most effectively.

The second problem created by the almost traditional late appropriation of funds for Vocational Education is the carryover of Federal funds from one year to the next by various States. The GAO report was highly critical of this practice. The late release of Federal funds makes it difficult to use the funds efficiently and effectively before the end of the Fiscal Year. Activities for which funds were budgeted have often been completed or eliminated because of the lack of funds. Additionally, it is impractical to initiate new programs or expand existing ones after the school year is partially completed. Furthermore, State planners are conditioned to anticipate the late release of Federal funds and see the carryover as a method of financing programs until the funds are released. The National Advisory Council questioned the States about why Federal funds were carried over from one year to the

next. It was reported that of the thirty-nine States responding, almost all said the release of Federal funds is generally so late that no other practical means exists to continue programs or to base planning on.[14]

The late release of Federal funds tends to force State Plans to be more compliance documents than true plans. The States are almost unanimous in their support of forward funding for Vocational Education as a solution to this problem.

The time schedule for completing the State Plan has created some problems. Given the amount of detail required, many planners feel that insufficient time is allowed between the distribution of the guidelines and the deadline for submitting the draft to the USOE regional office. This does much to encourage maintenance of the status quo in State planning and discourage innovative planning. In addition to more time for completion of the State Plan, it was suggested in the FY 1974 Pennsylvania Annual Descriptive Report that some funds be set aside to be used as an incentive to increase innovation or as a reward for exceptional planning or performance.

Another difficulty with the present planning and reporting schedule is that due dates often do not correspond with the normal reporting dates for the LEAs. This has made it difficult for planners to obtain accurate and timely data for planning purposes. The result is that planners must often rely upon estimated final enrollment figures and preliminary reports of the results of research projects or special programs. Furthermore, some additional work is created for LEA personnel that would not be necessary if the planning and reporting schedule corresponded with LEA reporting dates. A number of States have recommended that the schedule for State planning be revised to coincide with normal LEA reporting dates as well as to allow more time for planning.

Other Problems

A wide variety of State, Federal, and private agencies and institutions have become involved in Vocational Education in recent years. Overlapping responsibilities for various types of programs have made coordination among agencies an important part of the planning process. The two major types of programs are those administered under the VEA and those under the Comprehensive Employment and Training Act (CETA). However, there are many other programs in effect as a result of a wide variety of legislation. Additionally, there are many agencies, such as the Veterans Administration, which are also involved in Vocational Education to some degree.

The problems of coordination, administration, and accountability among agencies have affected the planning of Vocational Education in all States to some degree. These problems exist in terms of State

---

[14] Ibid, Appendix II, p. 2.

agencies as well as Federal agencies. The VEA specifies several agencies with which State Plans must be coordinated. Several States have identified this as a major planning problem that will not be solved until stronger requirements for cooperation, coordination, and communication between State and Federal agencies is mandated in the legislation pertinent to Vocational Education.

One of the requirements of the VEA is that the results of research and experimental or exemplary programs should be disseminated and used in planning or modifying programs. The main efforts in the dissemination of new knowledge seem to have been concentrated within each State. However, the National Advisory Council reported that only about half of the State Advisory Councils felt that their States had an adequate system for disseminating the results of research and exemplary programs.[15] Communication among States on a nationwide basis has been severely lacking. The lack of communication among States has effected all States, and four States listed it as a major force in stifling innovative program planning and causing costly duplication of effort. Federal regulations on materials developed under Federal grants have somewhat discouraged the dissemination of results. Private firms are hesitant to print reports or instructional materials developed under Federal grants because the government reserves the right to print or copy and distribute those materials as it sees fit. State planners in both Florida and Georgia recommended revision of the Federal regulations on the copyrights of materials developed under Federal grants. A number of State personnel suggested that USOE should implement stronger requirements for disseminating the results of research and exemplary programs and should take the lead in developing dissemination systems.

Thirteen States have indicated they have a scarcity of qualified administrative, supervisory, and teaching personnel, and the problem undoubtedly exists to some degree in the remaining States. The shortage of qualified teachers in some areas has made it difficult to plan for program expansion or the implementation of new programs. Without adequate administrative and supervisory personnel, data collection efforts and planning are difficult, and effective innovative planning discouraged. It may be that personnel shortages have been a contributing factor in the problems of data collection, availability, and coordination among State and Federal agencies.

Finally, there are conflicts between State and Federal legislation. Few problems appear to exist now, but considerable potential for future problems exists. An example of an existing problem is found in five States. While the VEA will allow funds to be used to pay private institutions or agencies to administer Vocational Education programs not available in public institutions, State law will not. Such problems should be anticipated and solved in advance when new legislation is being considered. State planning personnel are helpless to solve problems of this type and can only point them out.

---

[15]Ibid, Appendix II, p. 13.

CHAPTER III

The Results Of the State Planning Process

Considerable progress was made in Vocational Education during the period from FY 1971 to FY 1974. Project Baseline has continued to report increases in enrollments for each year. In FY 1971, 50.85 persons per 1,000 population were enrolled in Vocational Education; the figure for 1974 was 62.47. This growth is the result of the effects of many factors. It is impossible to determine the role State planning has played in this growth without engaging in an extremely expensive and time-consuming research effort.

Given the nature of this study it would be impossible to identify all of the factors bearing on Vocational Education growth and isolate their effects. Since it is not possible to measure the extent to which State planning alone contributed to the growth of Vocational Education, it is also impossible to determine the extent to which State planning alone retarded Vocational Education growth.

However, two facts seem to indicate that, overall, State planning has had some positive effect on the growth of Vocational Education, or that, in the most pessimistic view, it at least has had no overall positive or negative effect. The first is that, while all States develop various documents to support and supplement the State Plan, the Plan is generally viewed as the primary document used in the administration of Vocational Education programs. The second is that, while the majority of States readily admit that the State Plan was originally viewed as a compliance document, most now indicate that they are making definite efforts to write and use it as a true working plan. Thus it would appear that State Vocational Education personnel believe that the planning process is having some positive effects, and they are making efforts to magnify these effects.

The Effect of Planning on Programs, Expenditures, and Results

Part I of the State Plan is largely designed to show compliance with the Act. Under the regulations and guidelines the States are not required to rewrite Part I each year, but rather may make those revisions they deem necessary. However, this does not downgrade the importance of planning in Part I. Part I outlines the policies and procedures the State intends to follow in administering Vocational Education programs. It is important to note that the procedures outlined in the State Plan may or may not be followed in practice.

One of the provisions of the Act is that funds can be used only for programs leading to employment or to assist students in making occupational choices. (The one exception is consumer and homemaking programs funded under Part F of the Act.) The State Plan guidelines specifically require that State planners address this point in Part I. Table 5 seems to indicate that during the period from FY 1971 to FY 1974 State planners became more specific about the types of programs that would be eligible for funding under the definition of Vocational Education as included in the State Plan.

Any good planning system provides for knowledge or experience gained through experimental programs to be incorporated into the planning and operation of regular programs. Under the guidelines, State planners are required to outline procedures to assure that the results of exemplary, research and demonstration projects will be utilized. It would seem, based upon Table 6, that planning in this particular area has tended to become less specific from FY 1971 to FY 1974, with some reversal of this trend beginning in FY 1974. This conclusion is supported by the responses to the National Advisory Council questionnaire. It was reported that about half of the State Advisory Councils felt that there was an adequate system for disseminating the results of exemplary, research and demonstration programs within their State. Thus, the knowledge and experience gained from these types of programs is probably influencing the planning and modification of regular programs in a haphazard manner at best in many States.

Under the VEA, areas with high concentrations of unemployed youth and/or high dropout rates are to receive primary consideration when Federal funds are distributed within the States. As previously discussed, at least fifteen States do not collect either youth unemployment or dropout rates or both on a statewide basis. It is difficult to imagine how any amount of planning without these data could be realistic or affect programs, expenditures, or outcomes. Planning in these States is generally based on the assumption that areas of high youth unemployment will correspond to areas of high general unemployment. This assumption is undoubtedly valid in general, but it is almost certain that some problem areas are overlooked.

State-by-State data that would identify the degree to which areas with high youth unemployment or high dropout rates actually receive priority for funds are nonexistent. Some data are available for a few selected States, but they tend to be ambiguous. It is often assumed that the majority of funds spent for disadvantaged programs would closely correspond to those spent in areas with high youth unemployment and/or school dropout rates. Although many factors undoubtedly affect the percentage of funds expended for programs for the disadvantaged, Table 7 does not seem to show a strong relationship between definitive procedure for giving such areas priority for funding and the percentage of total expenditures in such areas.

TABLE 5 - NUMBER OF STATES AND SPECIFICITY OF ASSURANCE THAT FUNDS WILL BE USED ONLY FOR PROGRAMS LEADING TO EMPLOYMENT OR ASSISTING IN OCCUPATIONAL CHOICE

Specificity of State's Definition of Vocational Education	Number of States by Fiscal Year			
	FY 1971	FY 1972	FY 1973	FY 1974
Extensive	5	5	4	5
Adequate	10	15	18	20
Minimal	21	23	19	17
Not Mentioned	3	3	2	1
State Plan Not Available	12	6	9	9

Source: Data from State Plans of all fifty States, the District of Columbia, and Puerto Rico.

TABLE 6 - NUMBER OF STATES AND SPECIFICITY OF PLANNING FOR THE DISSEMINATION OF NEW KNOWLEDGE

Specificity of Procedures Outlined	Number of States by Fiscal Year			
	FY 1971	FY 1972	FY 1973	FY 1974
Extensive	5	2	2	3
Adequate	25	28	15	18
Minimal	10	16	27	23
Not Mentioned	0	2	0	0
State Plan Not Available	12	4	8	8

Source: Data from State Plans of all fifty States, the District of Columbia, and Puerto Rico.

TABLE 7 - THE RELATIONSHIP BETWEEN WELL-STRUCTURED PLANNING AND PERCENT OF EXPENDITURES FOR DISADVANTAGED

Specificity of Planning	Number of States by Percent of Total Expenditures for Disadvantaged															
	FY 1971				FY 1972				FY 1973				FY 1974			
	Below 5%	5% to 15%	Above 15%	Expenditure Data Not Available	Below 5%	5% to 15%	Above 15%	Expenditure Data Not Available	Below 5%	5% to 15%	Above 15%	Expenditure Data Not Available	Below 5%	5% to 15%	Above 15%	Expenditure Data Not Available
Extensive	1	6	2		2	3	2	1		2	1				1	
Adequate	2	10	2		3	16	4	1	3	18	3		8	20	2	
Minimal	5	8	4	1	3	11	3		2	11	4		3	9	2	
Not Mentioned																
State Plan Not Available	2	6	3		1		2		1	4	2	1	3	4		

Source: Data from State Plans of all fifty States, the District of Columbia, and Puerto Rico.

Tables 8 and 9 indicate that a number of States include definitive procedures in the State Plan for giving funding priority to areas of high youth unemployment and/or school dropouts. However, fewer provide discussions or data in the Annual Descriptive Reports to substantiate that those procedures were implemented.

TABLE 8 - SPECIFICITY OF PLANNING FOR PRIORITY FUNDING FOR AREAS OF HIGH YOUTH UNEMPLOYMENT OR SCHOOL DROPOUTS IN STATE PLAN

Specificity of Procedures in State Plan	Number of States by Fiscal Year			
	FY 1971	FY 1972	FY 1973	FY 1974
Extensive	9	8	3	1
Adequate	14	24	24	30
Minimal	18	17	17	14
Not Mentioned	0	0	0	0
State Plan Not Available	11	3	8	7

Source: Data from State Plans of all fifty States, the District of Columbia, and Puerto Rico.

TABLE 9 - EXTENT OF FUNDING DISCUSSION FOR AREAS OF HIGH YOUTH UNEMPLOYMENT AND/OR SCHOOL DROPOUT

Extent of Annual Descriptive Report Discussion	Number of States by Fiscal Year			
	FY 1971	FY 1972	FY 1973	FY 1974
Extensive	7	4	3	2
Adequate	15	18	18	24
Minimal	21	21	20	20
Not Mentioned	4	6	10	4
Annual Descriptive Report Not Available	5	3	1	2

Source: Data from Annual Descriptive Reports of all fifty States, the District of Columbia, and Puerto Rico.

One of the major objectives of the VEA was to encourage the States to plan and develop Vocational Education to the point that programs would be available to all who needed, wanted, and could benefit from Vocational Education. Monetary problems have seriously impeded the accomplishment of this objective. Although all planning might be assumed to be aimed at achieving this objective, few instances can be found in which specific strategies are outlined. Even fewer instances can be found in which progress is described in the Annual Descriptive Reports. This situation is graphically displayed by Table 10. It appears that specific strategies concerning programs and expenditures toward making Vocational Education universally accessible are almost nonexistent. Nor can progress toward this objective be identified readily.

TABLE 10 - EXTENT OF PLANNING AND EVALUATION OF PROGRESS TOWARD MAKING VOCATIONAL EDUCATION ACCESSIBLE TO ALL WHO DESIRE IT

Extent of Plans or Evaluation of Progress	Number of States by Fiscal Year							
	State Plan				Annual Descriptive Report			
	FY 1971	FY 1972	FY 1973	FY 1974	FY 1971	FY 1972	FY 1973	FY 1974
Extensive	0	1	0	0	0	0	0	0
Adequate	11	13	12	12	2	1	3	1
Minimal	24	29	28	25	7	5	5	3
Not Mentioned	5	6	4	8	28	43	43	26
Document Not Available	12	3	8	7	5	3	1	2

Source: Data from State Plans and Annual Descriptive Reports of all fifty States, the District of Columbia, and Puerto Rico.

Efficient planning is based on goals or objectives. The effectiveness of the planning can then be measured in terms of the progress toward achieving those goals. In Vocational Education planning, the States are required to evaluate their accomplishments and develop Annual Descriptive Reports outlining the results of their evaluation. Table 11 indicates the amount of progress reported by the States toward meeting the goals outlined in their Plans for the years from FY 1971 to FY 1974. The table implies that the vast majority of the States are not only achieving most of their objectives, but are surpassing many of them. Because the goals and objectives are supposed to be based on the needs of various groups for Vocational Education, it would appear that a great deal of progress is being made toward meeting those needs. Such is not necessarily the case. True progress toward meeting the total need is almost impossible to gauge because comprehensive needs assessments have not been conducted in many States. Therefore, goals and objectives tend to be based more on the amount of funding expected than actual needs.

TABLE 11 - EXTENT OF EVALUATION OF PROGRESS TOWARD GOALS

Extent of Progress Reported	Number of States by Fiscal Year			
	FY 1971	FY 1972	FY 1973	FY 1974
Extensive	14	17	19	19
Adequate	33	26	26	27
Minimal	0	6	6	4
Descriptive Report Not Available	5	3	1	2

Source: Data from State Plans and Annual Descriptive Reports of all fifty States, the District of Columbia, and Puerto Rico.

Rather than funding being a function of needs, needs become a function of funding. Given a reverse planning system such as this, the accomplishment of goals and objectives is almost assured. Furthermore, progress in meeting the actual needs is impossible to assess.

Because the States are required to conduct an annual self-evaluation to complete the Annual Descriptive Report, the results of that evaluation

would be expected to affect future planning. Goals and objectives for future years should be adjusted in light of the accomplishments of the past year in a realistic planning procedure. During the course of this study it was found that annual adjustments of goals and objectives were being made by all States to some degree. However, because of changing formats, accounting methods and the time sequence -- and a lack of comprehensive explanations -- it was often difficult to determine the extent to which the results of previous years actually affected these adjustments. Therefore, it is impossible to emphatically state that planners are revising program and expenditure plans in light of previous years' accomplishments, although this appears to be the case.

Continuity in the planning of Vocational Education appears to have been regarded as essential by the authors of the VEA. In order to encourage continuity, it is required that State planners develop annual and five-year goals and objectives. The purpose of this requirement was to force planners to move toward the accomplishment of long-term goals by achieving annual goals. The long-term goals provide continuity while the related annual objectives encourage a systematic approach to planning. Frequent changes in guidelines and requirements at the Federal level -- such as a major format change in the State Plan for FY 1974 that, among other things, combined Parts II and III -- have disrupted continuity, as indicated in Table 12.

TABLE 12 - THE EXTENT OF RELATIONSHIP BETWEEN ANNUAL AND LONG-RANGE OBJECTIVES

Extent to Which Annual Objectives are Related to Long-Range Objectives	Number of States by Fiscal Year							
	State Plan				Annual Descriptive Report			
	FY 1971	FY 1972	FY 1973	FY 1974	FY 1971	FY 1972	FY 1973	FY 1974
Extensive	9	12	7	8	9	5	15	12
Adequate	23	33	29	27	12	14	12	16
Minimal	8	4	8	10	23	27	21	21
Not Mentioned	1	0	0	0	3	3	3	1
Document Not Available	11	3	8	7	5	3	1	2

Source: Data from State Plans of all fifty States, the District of Columbia, and Puerto Rico.

A number of States made special efforts to provide for year-to-year continuity in their State Plans. The FY 1971 Minnesota State Plan discussed how the goals for the current year grew out of the goals and achievements of the previous year. South Dakota used a similar technique in FY 1972, as did Tennessee in FY 1974. Several States made outstanding efforts in this area for the entire period under study. Enough additional information or explanation was provided by Arizona, New York, Ohio and Pennsylvania to allow easy comparison of the goals established in the State Plans from year to year.

Continuity between planning and reporting is also essential if the results of previous years are to be used as input for future planning. Therefore, it is important that the Annual Descriptive Reports be written in terms of the goals and objectives outlined in the State Plans. At times it appears that the Annual Descriptive Report was written without regard to the State Plan, but for a majority of States comparisons were possible although sometimes difficult.

Innovations by State Planners

Due to the fact that the formats for both the State Plan and the Annual Descriptive Report are in accordance with Federal guidelines, considerable similarity exists among the documents from all States for a given year. Neverthless, States have made efforts to adapt the documents to their particular needs through innovative procedures. It appears that every State has made some effort beyond those required by the Federal guidelines.

In FY 1971, New York developed a format to tie annual objectives to long-range goals in a single table. This innovation encouraged and facilitated continuity in planning by forcing planners to systematically develop annual objectives that would lead to the accomplishment of long-range goals. This eliminated the need to have separate sections of the State Plan devoted to annual and long-range planning. The format developed by New York was adopted by USOE/BOAE in FY 1973 as State Plan Table 3, Annual and Long-Range Planning and Budgeting, and Parts II and III were combined into a single Part II. This innovation is unique in that it not only improved the State planning process in New York, but had national impact.

The problem of identifying handicapped and disadvantaged students in a consistent and accurate manner has plagued State planners consistently. In the absence of a universal set of definitions from the Federal level, several States have made special efforts to cope with this problem on their own. Several approaches have been taken to this problem, which revolves around the fact that LEA personnel are not generally trained to identify handicapped and disadvantaged students. Most States provide some general definitions and/or suggestions for identifying these students in Part I of their State Plans. However, California and Kentucky have provided specific definitions for identifying students in terms of specific handicaps or disadvantaged

conditions. On the other hand, Missouri has provided less extensive definitions for the use of LEA personnel but includes a list of organizations or agencies from which local officials can obtain assistance. Both of these approaches tend to encourage more accurate identification of students with special needs as well as improve the uniformity of data on handicapped and disadvantaged students.

One of the glaring shortcomings in a large number of the State Plans is found in the statement of and explanations about goals and objectives, which are often stated in very broad, poorly defined, unmeasurable terms. In addition, the methods or activities that will be used to accomplish the goals and objectives are often vaguely explained or not identified. This situation seems to have been worst in the FY 1973 State Plans. As a result of the guidelines that incorporated the format for State Plan Table 3 in the newly designed Part II, many States did not provide a supporting narrative to explain goals or objectives. This problem was corrected somewhat the following year. The problem is not universal, as evidenced by the State Plans of Montana, New Jersey, New York, Oregon, Rhode Island, and South Dakota, and the situation appears to be improving. There seems to be a trend toward stating goals and objectives in more specific and measurable terms. Procedures definitely beyond the USOE/BOAE requirements have been developed by several States. Delaware follows a procedure whereby major goals and objectives are listed in order of their priority. The District of Columbia and Kansas identify in considerable detail the annual actions that will be taken to achieve objectives. These techniques not only force planners to develop goals and objectives that are specific and measurable in nature, but also encourage systematic planning toward accomplishing them.

Several States have developed data beyond the requirements of the State Plan or Annual Decriptive Report. Oklahoma, for example, has made it a practice to report the unemployment rate for former Vocational Education students in the Annual Descriptive Report. When identifying projected manpower needs, it has also included a column that indicates which courses or program offerings will lead to job entry in each area. Such a technique promotes a more direct relationship between needs and objectives during the planning process. The possibility also exists that this policy could provide invaluable assistance to guidance counselors.

Another innovation in data collection and use is found in the New Jersey State Plan. New Jersey has compiled data that describe each county in the State. These data describe each county in terms of such characteristics as population, special interest groups, manpower data and projections, and economic base. These descriptions should prove invaluable to State planners by helping them to pinpoint special needs in various counties that might be masked in State-based data. Furthermore, these data represent a foundation upon which local planners can develop plans to meet local needs.

If local schools are to participate in carrying out the State Plan, it must be available to them. Printing and distributing the State Plan throughout the State can be an expensive, time-consuming process. Kansas has developed a unique solution. Microfiche copies of the State Plan are provided to all local school districts that have microfiche readers available. Printed copies are still made available to those districts without the equipment. Since a vast majority have a microfiche capability, the cost of distributing the State Plan is greatly reduced. Savings in time and money are also realized because of the reduced printing requirements. When copies are printed, LEAs often do not receive copies until well into the school year. By using microfiche, Kansas can provide local officials with the State Plan on a more timely basis. Such a system encourages local school officials to utilize the State Plan and view it more as a true working plan than as a compliance document.

Even with an effective program for distributing the State Plan to local officials, the plan must be useful and understandable to local personnel if it is to be a true working plan at the local level. In an effort to facilitate the use of the State Plan at the State and local levels, almost every State has produced some explanatory or supplementary materials. The purpose and quantity of these materials vary. Some are brief expository pamphlets written in layman's terms to help legislators and local school officials understand the State Plan. Most common, however, is the development of appendices to the State Plan that provide local officials with guidelines and examples on how to plan programs, apply for funds, collect and report data, and use the State Plan in administering programs. Rhode Island has even developed an appendix that provides local administrators with guidelines for evaluating Vocational Education programs. Whether these supporting documents are an integral part of the State Plan is not important. Their development and existence represents an effort by the States to make the State Plan more useful and understandable.

Changes in State Planning 1971-1974

Overall, it appears that the States have made some progress in the planning of Vocational Education during the period from FY 1971 to FY 1974. The State Plan was originally viewed as a compliance document, but the trend in most States is toward developing it as a true working plan. Several States continue to view it as a compliance document, however. This is evidenced by the fact that one does not have to examine too many State Plans or Annual Descriptive Reports before discovering a State whose documents are almost identical from year to year. But, the majority of the States were found to be making the kinds of changes that indicate an attempt at true planning rather than mere compliance.

Continuity in the planning process has also improved. After the adoption of the new guidelines for Table 3 in Part II of the State Plan, a majority of the States' Annual Descriptive Reports tended to

be more closely related to the State Plans. The format for Table 3 required that goals be specified along with the objectives, activities and expenditures that related to them. In most cases the Annual Descriptive Report was a restatement of those goals and objectives with some discussion about each objective and achievements related to it. This format not only makes it easier to evaluate performance in a given year, but also provides a comprehensive record of past performance for use in future planning. With this change in the Annual Descriptive Report more continuity in year-to-year planning is possible.

This format change has also encouraged planners to develop goals and objectives in more specific, measurable terms. This has encouraged the States to be more definitive when goals and objectives have not been achieved. During the years FY 1971 and FY 1974, many States offered little or no explanation for failures reported in the Annual Descriptive Report. Following the format change of the State Plan Table 3 in FY 1973, explanations for failures were more common and more specific. The information should be very useful to State planners when developing future plans.

There appears to be a movement toward adopting the Management by Objectives (MBO) system in the State education agencies. At least eight States -- Kansas, Maine, Michigan, Missouri, New Hampshire, North Dakota, Oklahoma, and Vermont -- and the District of Columbia are using or adopting this idea. Those that have adopted the MBO system feel it complements the State planning process. By requiring that the tasks, expenditures, and man-hours related to each objective be specified, a systematic approach to planning is encouraged. These States feel that the MBO approach in planning makes the process less time-consuming and the State Plan more useful.

During the period from FY 1971 to FY 1974, State planners have broadened the sources of input to the State Plan. The District of Columbia conducts planning workshops for local educational officials to encourage their participation in the planning process. With the same objective in mind, the Arizona State Advisory Council holds meetings with local advisory council members and gathers input for the State Plan. Michigan has participants at public hearings rate each State Plan objective on its importance on a scale from one to five. Kentucky sends letters to teachers, administrators, and superintendents throughout the State asking for suggestions based on their review of the previous year's State Plan. Maryland conducts a two-day workshop at which the proposed State Plan goals and objectives are reviewed and evaluated by individuals from all areas, levels, and parts of the State.

Several States, including Illinois and Oklahoma, have established special State Planning Committees. New Hampshire has established a special task force to identify valid long-range Vocational Education goals for the State. Mississippi conducts a two-day State planning workshop to solicit input from teacher educators. The Governor of New Mexico recently established a Youth Advisory Council upon the

recommendation of the State Advisory Council. State planners in California have proposed the establishment of an interagency committee for area planning in their State. All of these examples represent efforts to improve the State Plan by encouraging broader participation in the planning process. These efforts should make the State Plan a more realistic and useful document.

The guidelines require that the State Plan be written with the consultation of the State Advisory Council and that a certificate to this effect be included with the State Plan. Table 13 seems to indicate that the role of the State Advisory Council in the planning process is increasing. Only four of the forty-one State Plans available for FY 1971 discussed the consideration given the State Advisory Council recommendations other than in the certificate, while eleven of forty-seven Annual Descriptive Reports included comment about the State Advisory Council. The following year fifteen of the forty-nine State Plans available included some reference to consideration given to State Advisory Council recommendations. Some listed the recommendations and followed each one with the State department response and actions taken, if any. In FY 1973 twenty-eight States published the recommendations of the State Advisory Council, generally followed by the State department responses. Most of these were included in an appendix. By FY 1974 only ten State Plans of forty-four available made no mention of the State Advisory Council. Of those, three included responses in previous years, and four discussed the Advisory Council's recommendations in the Annual Descriptive Report. Two States, Michigan and New Jersey, not only listed the State Advisory Council's recommendations and the action taken on each, but also included a reference to the page or pages in the State Plan where those recommendations applied and were incorporated.

TABLE 13 - EXTENT OF CONSIDERATION GIVEN TO FINDINGS AND RECOMMENDATIONS OF THE STATE ADVISORY COUNCIL BY STATE PLANNERS

Extent to Which Findings and Recommendations Were Discussed, and/or Implemented	Number of States by Fiscal Year							
	State Plan				Annual Descriptive Report			
	FY 1971	FY 1972	FY 1973	FY 1974	FY 1971	FY 1972	FY 1973	FY 1974
Extensively	1	7	19	21	7	3	6	8
Adequately	3	6	8	10	4	4	6	5
Minimally	6	6	1	2	7	8	6	5
Not Mentioned	31	30	10	8	29	34	33	32
Document Not Available	11	3	14	11	5	3	1	2

Source: Data from State Plans and Annual Descriptive Reports of all fifty States, the District of Columbia, and Puerto Rico.

During the period from FY 1971 to FY 1974, a number of States made progress toward automating their data collection and reporting systems. In FY 1971 twenty-one States were automated to some degree and fourteen of those were collecting some data on an individual basis. By FY 1974 the number of States with automated data collection and reporting systems had increased to forty-one, with twenty-four collecting some individual data. With properly designed systems and knowledgeable management, this trend toward the computerization of record-keeping and reporting should provide more accurate, timely data for State planning. Additionally, properly designed systems should allow planners to collect and compile new types of data as well as improve the flexibility of existing data. Thus, planners should be able to more accurately identify the needs of special groups and areas as well as evaluate the efforts toward meeting those needs. Furthermore, the computerization of data collection and reporting can have the desirable side-effect of reducing both the work load of State and local educational personnel and the cost of data collection.

CHAPTER IV

Recommendations

1. The new Vocational Education legislation should place fewer restrictions on State initiative in planning than did the Amendments of 1968. The regulations established under current legislation do not allow enough flexibility in planning to meet the needs which are unique to each State. States are encouraged toward compliance with formalities and away from innovative planning.

2. Inasmuch as there may be national priorities in Vocational Education which override individual State emphases, these should clearly set forth in the statutes in the order of their importance. Considerable confusion exists about the actual purpose and intent of set-asides and expenditures required in the current legislation. While the objective of the new legislation should be to encourage State initiative, national priorities, if any are identified, should be established in a manner which will furnish clear-cut guidelines for State planners.

3. The new Vocational Education legislation should continue to include the use of State Advisory Councils for Vocational Education. The role of the State Advisory Councils in the planning process is increasing, and this development should be encouraged.

4. The new Vocational Education legislation should include the use of a standardized set of definitions and Federal standards in data collection methods for Vocational Education. Considerable inconsistency currently exists within and among States in terms of how data are defined and collected. The lack of clear definitions and guidelines has done much to increase the ambiguity and decrease the reliability of pertinent planning data.

5. The new Vocational Education legislation should include provisions for insuring that adequate planning data are available in each State. Much of the data essential for realistic planning of Vocational Education are either not available or insufficient. Considerably better data are needed on manpower supply and demand.

6. The new Vocational Education legislation should encourage each State to develop a planning and management information system capable of providing annual data in a time frame compatible with the planning process. Well-designed automated data handling

systems can do much to improve the reliability of the data needed by State planners.

7. The new Vocational Education legislation should establish national priorities and provide for a comprehensive needs assessment and annual up-date in each State. Few States have actually conducted a comprehensive needs assessment. Until all States know their own total need for Vocational Education on a community-by-community basis, completely realistic priorities at the national level and allocation of resources at the State level are impossible. Planners will continue to base planning more on the expenditure of given amounts of money than on known needs and established priorities.

8. The new Vocational Education legislation should provide for better cooperation between U. S. Department of Labor manpower programs and Vocational Education. Previous legislative provisions for coordination have not worked well, and planning by each is seldom carried on with more than a mere formality of communications, if that. If it were not that the manpower programs provide training for less than 1/20th of the number trained in Vocational Education, the situation would be intolerable. As it is, both programs could benefit by a closer working relationship, and realistic planning would be much more feasible.

9. The new Vocational Education legislation should support the establishment and continuation of regional, and perhaps national, planning workshops. There currently seems to be a lack of communication among Vocational Education planners at all levels. Problems and misunderstanding exist within States, between States, and between State and Federal agencies. Workshops would facilitate cooperation and understanding through the exchange of ideas on data sources, techniques, objectives and purposes.

10. Both Federal authorizations and appropriations for Vocational Education should be adequate to carry out the purposes of the legislation. The level of appropriations under present legislation has never approximated the level of funding authorized. This has prevented the States from carrying out the purposes of the Act and, when coupled with characteristically late appropriations, has hindered realistic, comprehensive planning.

11. The new Vocational Education legislation should establish a program of forward funding for Vocational Education. Under the present system, late appropriations have been common. Such an environment has forced planners to rely on estimates of expected appropriations, has encouraged States to carry over Federal funds from year to year, and has hindered the efficient use of Federal funds.

12. The new Vocational Education legislation should include broader authorization for the use of Federal funds. If States are to be encouraged to engage in innovative planning, provisions must

be made to allow the tailoring of expenditures to meet the needs within each State. It is difficult if not impossible to provide for realistic planning unless States can establish their own priorities in allocating resources, within the framework of national priorities Congress may determine.

APPENDIX A

Items Analyzed in State Plans and Annual Descriptive Reports

		State Plan	Annual Descriptive Report
1.	Minimum Qualifications for Teachers and Other Professional Personnel	X	
2.	Cooperative Arrangements with State Employment Service Agency for Job Market Information	X	
3.	Cooperative Arrangements with Other Agencies, Organizations and Institutions	X	
4.	Funds must Supplement and, to Extent Possible, Increase State and Local Funds Used	X	
5.	Participation by Students in Non-profit Private Institutions	X	
6.	Funds Only for Programs Leading to Employment or to Assist in Occupational Choice (Except Consumer and Homemaking under Part F)	X	
7.	Programs Utilize Experience or Knowledge From Exemplary Projects	X	
8.	Funds to Areas of High Concentration of Youth Unemployment and School Dropouts	X	X
*9.	Assurance that Education and Training Programs are Available to All Individuals Who Desire and Need Vocational Education	X	X
*10.	Contains Provisions Other Than, or Beyond, USOE Requirements	X	X
11.	Present and Projected Vocational Education Needs Identified	X	X
*12.	Substantial Progress in Meeting Vocational Education Needs Shown	X	X
*13.	Evidence of Realistic Reappraisal Following Previous Years, Results	X	X
14.	Shows How Long-Range Objectives Are Being Carried Out	X	X

*Items specifically required in USOE/BOAE Guidelines.

	State Plan	Annual Descriptive Report
*15. Extent to Which Consideration Given to Findings and Recommendations of State Advisory Council in Its Most Recent Evaluation Report	X	X
*16. Statistical Increase or Decrease Items Anticipated in Previous Year's State Plan, and/or Explained in Annual Descriptive Report	X	X

*Items not specifically required in USOE/BOAE Guidelines.

APPENDIX B

Documents Available FY 1971-74

STATES	STATE PLANS		ANNUAL DESCRIPTIVE REPORTS	
	Available	Not Available	Available	Not Available
Alabama	FY 72-74	FY 71	FY 71-74	
Alaska	FY 71, 74	FY 72, 73	FY 71-74	
Arizona	FY 71, 72, 74	FY 73	FY 71-74	
Arkansas	FY 72-74	FY 71	FY 71-74	
California	FY 71-74		FY 72-74	FY 71
Colorado	FY 72	FY 71, 73, 74	FY 72, 74	FY 71, 73
Connecticut	FY 71-74		FY 71-74	
Delaware	FY 71, 73	FY 72, 74	FY 71-74	
Dist. of C.	FY 71, 72, 74	FY 73	FY 71-74	
Florida	FY 71-74		FY 71-74	
Georgia	FY 71-74		FY 71-74	
Hawaii	FY 72, 73	FY 71, 74	FY 71-74	
Idaho	FY 71-74		FY 71-74	
Illinois	FY 71-74		FY 71-74	
Indiana	FY 71-73	FY 74	FY 72-74	FY 71
Iowa	FY 71-74		FY 71-74	
Kansas	FY 72-74	FY 71	FY 71-74	
Kentucky	FY 71-74		FY 71-74	
Louisiana	FY 71-74		FY 71-74	
Maine	FY 71-74		FY 71-74	
Maryland	FY 71-74		FY 71, 73, 74	FY 72
Mass.	FY 71-74		FY 71-74	
Michigan	FY 71-74		FY 71-73	FY 74
Minnesota	FY 71-74		FY 71-74	
Mississippi	FY 71-74		FY 71-74	
Missouri	FY 71-73	FY 74	FY 71-73	FY 74
Montana	FY 71-73	FY 74	FY 71-74	
Nebraska	FY 72-74	FY 71	FY 71-74	
Nevada	FY 71-74		FY 71-74	
New Hamp.	FY 71-73	FY 74	FY 71-74	
New Jersey	FY 71-74		FY 71-74	
New Mexico	FY 71-74		FY 71-74	
New York	FY 71,74	FY 72, 73	FY 71, 73, 74	FY 72
N. Carolina	FY 71-74		FY 71-74	
N. Dakota	FY 71-74		FY 71-74	
Ohio	FY 72-74	FY 71	FY 73,74	FY 71, 72
Oklahoma	FY 72-74	FY 71	FY 71-74	
Oregon	FY 71-74		FY 71-74	
Penn.	FY 71-74		FY 71-74	
Rhode Isl.	FY 71-74		FY 71-74	
S. Carolina	FY 71-74		FY 71-74	
S. Dakota	FY 71-74		FY 71-74	
Tennessee	FY 71, 72, 74	FY 73	FY 71-74	
Texas	FY 71-74		FY 71-74	
Utah	FY 72-74	FY 71	FY 71-74	
Vermont	FY 71-74		FY 71-74	
Virginia	FY 71-74		FY 71-74	
Washington	FY 71-74		FY 71-74	
W. Virginia	FY 71-74		FY 71-74	
Wisconsin	FY 71-74		FY 71-74	
Wyoming	FY 72, 74	FY 71, 73	FY 71-74	
Puerto Rico	FY 72, 74	FY 71, 73	FY 72-74	FY 71

APPENDIX C

Sources of Input

FEDERAL SOURCES

Bureau of the Census

Bureau of Employment Security

Bureau of Indian Affairs

Bureau of Labor Statistics

Bureau of Statistics

Civil Service Commission

Department of Agriculture

Department of Commerce

Department of Health, Education and Welfare

Department of Housing and Urban Development

Department of the Interior

Department of Labor

Office of Economic Opportunity

Social Security Administration

STATE SOURCES

Agency of Human Services

Agriculture Economic Department

Bureau of Educational Research

Board of Barber Examiners

Board of Cosmetology Examiners

Board of Nurse Examiners

Board of Regents

Bureau of Statistics

Civil Service Commission

Commission for Higher Education

Conservation Commission

Cooperative Area Manpower Planning System

Department of Administration

Department of Agriculture

Department of Public Welfare

Department of Special Services

Development and Community Services

Division of Management Services

Division of Occupational Education

Division of Vocational Rehabilitation

Education Coordinating Council

Educational Services Division

Employment Security

Forestry Department

Governor's Office of Public Aid

Health Department

Human Relations Agency

Human Resources Commission

APPENDIX C (continued)

STATE SOURCES

Department of Business and Economic Development

Department of Children and Family Services

Department of Commerce

Department of Corrections

Department of Economic Security

Department of Education

Department of Finance

Department of Housing and Urban Development

Department of Human Resources

Department of Industrial Relations

Department of Labor

Department of Mental Health

Department of Natural Resources and Agriculture

Department of Planning

Department of Public Assistance

Department of Public Instruction

Manpower Administration

Office of Economic Opportunity

Office of Planning and Programming

Office of State Analyst

Office of State Planning

Program Development Office

Real Estate Commission

Research Coordinating Unit

Research and Development Center

State Advisory Council for Vocational Education

State Board of Education

State Board of School Finance

State Board of Institutions

State Board of Vocational, Technical, and Adult Education

State College Board

Vocational Rehabilitation Services

NON-GOVERNMENTAL SOURCES

Apprenticeship Council

Associated Builders and Contractors

Chamber of Commerce

National Association of Mental Health

National Education Association

National Planning Association

APPENDIX C (continued)

NON-GOVERNMENTAL SOURCES

City Council

Dental Association

Education System Resources of Washington D.C.

Farm Bureau

Federal Reserve Bank

Hospital Association (State and National)

Local Businesses and Industries

Local Education Agencies

Manufacturing and Trade Association

New England Regional Committee

Nursing Association

Opthalmic Association

Post-secondary Institutions

Private Institutions

State Colleges and Universities

State Comprehensive Transportation and Land Use Planning Program

Special Studies, Committees and Reports

APPENDIX D

PROCEDURES USED IN CATEGORIZING DATA

The data from the State Plans and Annual Descriptive Reports contained in the tables of this report were categorized based upon the researcher's judgment. The following criteria were used in categorizing.

Extensive:

(1) For those items involving planning, an obvious, well-delineated procedure or set of procedures for accomplishing the objective is set forth in the document.

(2) For those items involving definitions, a set of clearly stated criteria or characteristics is contained in the document.

(3) For those items involving reporting, accomplishments and shortcomings are clearly related to the goals and objectives set forth in the State Plan and explanations for shortcomings are included.

Adequate:

(1) For those items involving planning, a set of procedures for accomplishing the objective is suggested but not explicitly identified in the document.

(2) For those items involving definitions, the existence of a set of criteria on characteristics is implied or a vague or ambiguous definition included in the document.

(3) For those items involving reporting, accomplishments and shortcomings can be related to established objectives after some probing, however few, if any shortcomings are explained.

Minimal:

(1) For those items involving planning, mention is made of the objective; however, no procedures for accomplishing the objective are offered or implied in the document.

(2) For those items involving definitions, the term or item can be found in the document; however, no effort is made to define the term or item.

(3) For those items involving reporting, accomplishments and shortcomings are reported in broad categories making it impossible to relate accomplishments or shortcomings directly to specific established objectives. Explanations are not offered for any shortcomings.

Not Mentioned: No reference to the item can be found in the document.

Items, definitions, and reports were categorized solely on the basis of what was contained in the body of the State Plan; the Annual Descriptive Report or their appendices. Although additional information may be included in other documents, these were not considered.

REFERENCES

Lee, Arthur M., Learning A Living Across The Nation, Volume 4. Project Baseline Fourth National Report, Flagstaff, Arizona; Northern Arizona University, 1975.

National and State Advisory Councils on Vocational Education. The Impact of the Vocational Education Amendments of 1968. A report prepared for Congressional Oversight Hearings, April, 1974.

U. S. General Accounting Office, What is the Role of Federal Assistance for Vocational Education? Report to the Congress, Washington, D.C.; Government Printing Office, 1974.

Annual Descriptive Reports for each State as listed in Appendix B for the years FY 1971 through FY 1974.

State Plans for each State as listed in Appendix B for the years FY 1971 through FY 1974.

Telephone Conferences with State Agencies, June - October, 1975.

BIOGRAPHICAL SKETCH OF THE AUTHOR

Professional

B.S. (Mathematics major, General Science minor, 1967) Kansas State College; M.S. (Trade and Industrial Education, 1970) Kansas State College; Ph.D. (Vocational-Industrial Education, 1973) The Pennsylvania State University.

1974- : Research Associate, Project Baseline, Northern Arizona University.
1973-1974 : Assistant Professor of Industrial Education at Alcorn A. and M. College, Lorman, Mississippi.
1971-1973 : Full-time Research Assistant in the Department of Vocational Education at The Pennsylvania State University.
1970-1970 : Half-time Graduate Assistant in the Department of Vocational Education at The Pennsylvania State University.

Organizations

American Association of University Professors; American Educational Research Association; American Vocational Association; Iota Lambda Sigma; National Association of Industrial and Technical Teacher Educators; Phi Delta Kappa.

Publications

"The Role of Research in Adult Vocational Education," (1975); "Path Analysis: An Investigation of Stability of Expressed Occupational Choice," (1974); Co-author, "Assessing Trouble-shooting Proficiency: Application of a General Strategy for Work Performance Measurements," (1974); Co-author, "The Effects of Simulation on Problem Solving Skill Development," (1974); "The State Colleges' Role in Post-secondary Vocational Education," (1974); Co-author, "The Longitudinal Vocational Development Study (VDS) Project: A Five Year Report," (December, 1973); Co-author, "A Model for the Use of Success Criteria in Vocational-Technical Educational Research," (Fall, 1973); Predicting the Stability of Expressed Occupational Choices of Secondary Students, (May, 1973); Co-author, The Role of Dynamic Simulation in Teaching Complex Problem Solving Skills, (1973); Evaluation of In-school Success Criteria for Vocational-Technical Students, (May, 1972); Co-author, Reviews and Bibliographies Related to Research in Vocational-Technical Education, (June, 1971).